

# Retention and Classification Report

**Agency:** Department of Human Services. Division of Services for People with Disabilities (469)  
Services for People w Disabilities  
195 North 1950 West  
Salt Lake City, UT 84116  
801-538-4200

**Records Officer** Anna Owen

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**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 11996

3

**TITLE:** Agency written history

**DATES:** 1969-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 10.00 cubic feet.

**DESCRIPTION:**

Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio or audiovisual agency histories.

**RETENTION:**

Retain 10 years

**DISPOSITION:**

Transfer to the State Archives with authority to weed.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 04/16/1993

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 10 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

Administrative Historical

Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency.

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 11996

**TITLE:** Agency written history

(continued)

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12020

3

**TITLE:** Board records

**DATES:** 1985-

**ARRANGEMENT:**

**ANNUAL ACCUMULATION:** 5.00 cubic feet.

**DESCRIPTION:**

Records created by a committee or conference, including advisory committee's relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees.

**RETENTION:**

Retain 3 years

**DISPOSITION:**

Transfer to the State Archives with authority to weed.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 03/18/2015

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until administrative need ends and then transfer to State Records Center. Retain in State Records Center for 3 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

Administrative

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12020

**TITLE:** Board records

(continued)

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 24979

3

**TITLE:** Civil litigation records

**DATES:** 1969-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

These records document civil litigation cases involving the agency. Included are court documents, correspondence, copies of deposition testimony, case file copies, and attorney work product. May also include police reports, witness statements, photographs, contracts, reports, etc. Case file copies may contain vital statistics worksheets, admission information and date, request for prior approval, client background history, social summary, planning and grant information, face sheet, correspondence, and psychological and psychiatric evaluations. Information includes name of client, client social security number, client case number, case worker name, agency attorney name, legal issue, court case number, court date(s), and litigation outcome.

**RETENTION:**

Retain 25 years after case is closed.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/2003

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until case is closed and then transfer to State Records Center. Retain in State Records Center for 25 years and then destroy.

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 24979

**TITLE:** Civil litigation records

(continued)

**APPRAISAL:**

Administrative Legal

**PRIMARY CLASSIFICATION:**

Private

**SECONDARY CLASSIFICATION(S):**

Protected

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 80131

3

**TITLE:** Client assessment files

**DATES:** 1985-

**ARRANGEMENT:** Alphabetical by client name

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

Policy and procedures for the development of assessment plans and assessment advisory training counsels to meet the assessment and health plan certification needs for clients who are developmentally disabled. This series includes a Program Outline, policy and procedures, recertification schedule, a medicaid physicians list, Physical Exam Form, and a psychologist list.

**RETENTION:**

Retain 25 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1988

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 24 years and then destroy.

**APPRAISAL:**

Administrative Fiscal

Retention is based on 42 CFR 431.17.



**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 80131

**TITLE:** Client assessment files

(continued)

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 13954

3

**TITLE:** Committee and conference files

**DATES:** 1985-

**ARRANGEMENT:** chronological

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

These records document the Personal Care Assistance (PCA) program, which was established to provide personal assistance services to physically disabled adults who require the assistance of another person to accomplish personal care. PCA was also known as the Personal Assistance Service (PAS) program. Records relate to program establishment, organization, eligibility, administration, and policy. Included are meeting agenda and minutes, final reports, and related records documenting the accomplishments of the program surveys, correspondence, news releases, newsletters and publications, policies and procedures, interviews, ratings, applications, research materials, waivers, and budget records.

**RETENTION:**

Retain 10 years

**DISPOSITION:**

Transfer to the State Archives with authority to weed.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 70.

**AUTHORIZED:** 02/25/2015

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 7 years and then transfer to State Archives with authority to weed.

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 13954

**TITLE:** Committee and conference files

(continued)

**APPRAISAL:**

Administrative Historical

These records document the activities of an agency which is now defunct.

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12021

3

**TITLE:** Emergency services management committee records

**DATES:** 1985-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 5.00 cubic feet.

**DESCRIPTION:**

Records created by a Director's appointed division level clinical review committee to evaluate and approve funding requests. These requests come from the emergency waiting list (ESMC) and request for additional services (RAS) list. Information includes agendas, meeting minutes, regional ESMC/RAS) requests, supporting documentation, related records, and findings and recommendations of the committee.

**RETENTION:**

Retain 3 years

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until administrative need ends and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

**APPRAISAL:**

Administrative

Records used for administrative need to assess and improve programs.

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12021

**TITLE:** Emergency services management committee records

(continued)

**PRIMARY CLASSIFICATION:**

Controlled UCA 63G-2-304

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12000

3

**TITLE:** Executive correspondence

**DATES:** 1975-

**ARRANGEMENT:** Alphabetical by subject

**ANNUAL ACCUMULATION:** 10.00 cubic feet.

**DESCRIPTION:**

Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements.

**RETENTION:**

Retain 10 years

**DISPOSITION:**

Transfer to the State Archives with authority to weed.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 03/31/2015

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until administrative need ends and then transfer to State Records Center. Retain in State Records Center for 10 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

Administrative Historical

These records are business-related correspondence that provides unique information about agency functions, policies, procedures, or programs. The records document material discussions and decisions and may originate on paper, electronic mail, or other media.

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12000

**TITLE:** Executive correspondence

(continued)

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12003

3

**TITLE:** Financial files

**DATES:** 1970-

**ARRANGEMENT:** Numerical by order number

**ANNUAL ACCUMULATION:** 5.00 cubic feet.

**DESCRIPTION:**

These records contain requisitions for supplies and equipment for current inventory. Included are warrants and denied claims from the Department of Health. Also includes records processed through the state accounting system that document the expenditure of cash and the appropriate supporting information. Includes payment invoices, purchasing records, and travel reimbursements. Some of these records were, until 2009, kept in series #23218. From 2009, all financial records for the division are kept together.

**RETENTION:**

Retain 7 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 09/22/2009

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper copy: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.



**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12003

**TITLE:** Financial files

(continued)

**APPRAISAL:**

Administrative Fiscal

These financial records are kept for audit purposes.

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12016

3

**TITLE:** Internal management committee records

**DATES:** 1985-

**ARRANGEMENT:** Alphabetical by subject

**ANNUAL ACCUMULATION:** 5.00 cubic feet.

**DESCRIPTION:**

Records created by a committee or conference, including advisory committee's relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees.

**RETENTION:**

Retain 2 years

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 04/07/2010

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then destroy.

**APPRAISAL:**

Administrative

These records have administrative value for assessment and change in programs.

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12016

**TITLE:** Internal management committee records

(continued)

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12043

3

**TITLE:** Periodic budget reports

**DATES:** 1980-

**ARRANGEMENT:** Alphabetical by subject

**ANNUAL ACCUMULATION:** 0.50 cubic feet.

**DESCRIPTION:**

Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.

**RETENTION:**

Retain 7 years.

**DISPOSITION:**

Transfer to the State Archives permanently.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 04/29/1993

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper copy: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

Administrative Fiscal  
This disposition is based on

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 12043

**TITLE:** Periodic budget reports

(continued)

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 27662 3

**TITLE:** Physical disabilities service files

**DATES:** 1985-

**ARRANGEMENT:** Alphabetical by surname, thereunder chronological and numerical

**ANNUAL ACCUMULATION:**

**DESCRIPTION:**

These records document personal assistance services for clients. Records may include needs assessments, applications for the position of personal assistant or aide, log of services provided, and details of the program of assistance available to clients.

**RETENTION:**

Retain 10 years

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 4, Item 3.

**AUTHORIZED:** 03/10/2011

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

**APPRAISAL:**

Administrative

This disposition is based on the administrative need of the agency.

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 27662

**TITLE:** Physical disabilities service files

(continued)

**PRIMARY CLASSIFICATION:**

Private

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 3610

3

**TITLE:** Provider fact finding results and investigative reports case files

**DATES:** i 1985-

**ARRANGEMENT:** Alphanumerical

**ANNUAL ACCUMULATION:**

**DESCRIPTION:**

These files document contract and quality monitoring and investigation reports of private providers of services to people with disabilities. Providers are under contract with the state. The reports are classified as "private" in order to inform the providers of complaints made against them so that corrections may be made or other action taken. Included are actions of providers or staff, living conditions, service provisions, training, competency and fiscal accountability. Also included may be names of brothers and sisters, checking and savings account, condition of living quarters, current and past address, date of purchase and consumption, income, job position information, marital status, medical information, name, next of kin, occupation, personality inventory, physical characteristics, physical disabilities, police record, psychiatric information, salary, security investigation, sex, tax information, victim information, training records, service plans and results.

**RETENTION:**

Retain 4 years

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 01/1986



**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 3610

**TITLE:** Provider fact finding results and investigative reports case files

(continued)

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

**APPRAISAL:**

Administrative

This disposition is based on the needs expressed by the agency.

**PRIMARY CLASSIFICATION:**

Private

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 80125

3

**TITLE:** Provider files

**DATES:** 1985-

**ARRANGEMENT:** Alphabetical by provider's name

**ANNUAL ACCUMULATION:** 1.00 cubic foot.

**DESCRIPTION:**

This is a record kept on providers for the Division of Services for People with Disabilities. The records include: registration application and Affidavit of Standard Compliance, license, copies of contracts, contractor evaluations, qualifications of staff members, confidentiality agreement, provider Code of Conduct, insurance, Medicaid application, contract budget (if applicable), problem correction plan, fact finding reports and results, and related memos and correspondence.

**RETENTION:**

Retain 5 years

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 12/1988

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after contract has been cancelled or terminated and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy provided no pending litigation.

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 80125

**TITLE:** Provider files

(continued)

**APPRAISAL:**

Administrative Fiscal Legal

Retention is based on 42 CFR 431.17.

**PRIMARY CLASSIFICATION:**

Public

**SECONDARY CLASSIFICATION(S):**

Private. name, address, and telephone number of the facility

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 11994

3

**TITLE:** Publications

**DATES:** 1970-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 10.00 cubic feet.

**DESCRIPTION:**

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, newsletters, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 04/16/1993

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 6 months or until administrative need ends and then microfilm and transfer to State Archives with authority to weed.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

**APPRAISAL:**

Administrative Historical

Disposition based on value of these diverse publications in documenting the achievements, policies, procedures and functions of the Division.

**AGENCY:** Department of Human Services. Division of Services for People with Disabilities

**SERIES:** 11994

**TITLE:** Publications

(continued)

**PRIMARY CLASSIFICATION:**

Public